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ABSTRACT

This document reports on a study undertaken to identify specific behaviors of secondary school principals that are effective or ineffective in promoting positive school characteristics. The researchers first searched the literature to find an organizational model that would take into account the organization's goals, the means for measuring achievement of the goals, and the factors responsible for their achievement. The literature was further searched to determine accepted characteristics of effective schools. Eight characteristics were identified: recognition of achievement, a positive environment, articulation of the curriculum, support for instruction, high expectations, collaborative planning, instructional leadership, and parental involvement. A modified version of the Critical Incident Technique was then used to interview 55 individuals in Oregon and Kentucky who had had frequent opportunities to observe administrators. These observers cited over 1,000 instances of effective and ineffective principal behavior. The researchers and a panel of experts agreed that 335 of these were related to specific school characteristics, either positively or negatively, and found another 315 to be either effective or ineffective in relation to more than one characteristic. The document contains a discussion of how these 650 behaviors relate to the eight school characteristics and to the principal's organizational leadership role. Appendices include a four-page bibliography and statistical tables. (PGD)

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Linking the Behaviors and Activities of Secondary School Principals to School Effectiveness: A Technical Report

by
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and Steven D. Maurer

August 1985

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TABLE OF CONTENTS

	Page No.
CHAPTER ONE: INTRODUCTION.	1
A Model of Organizational Effectiveness.	4
A Secondary School Model	6
School Characteristics	8
Outcomes and Effects	14
Principal Work	15
Principal Activity Research.	18
Social and Structural Settings of Secondary Principals	21
Summary.	23
CHAPTER TWO: METHODOLOGY	24
Sample	24
Data Collection.	27
Analysis	28
CHAPTER THREE: RESULTS	31
(1) Providing for School-Wide Measurement and Recognition of Academic Success.	31
Effective.	31
Ineffective.	33
(2) Promoting an Orderly and Studious School Environment	33
Effective.	33
Ineffective.	35
(3) Demonstrating that the School Places a High Emphasis on Curriculum Articulation.	36
Effective.	36
Ineffective.	37
(4) Proving Cooperation and Support for Staff Instructional Tasks.	38
Effective.	38
Ineffective.	38
(5) Expressing High Expectations and Clear Goals for the Performance of Students.	39
Effective.	39
Ineffective.	40
(6) Providing for Collaborative Planning with Staff.	40
Effective.	40
Ineffective.	41

(7) Providing Instructional Leadership for Teachers. 41

Effective. 41
Ineffective. 42

(8) Obtaining Parental Support for the Education of Students . . . 43

Effective. 43
Ineffective. 44

Unanimous Effective Behaviors Not Classified by Characteristics . . 44

Unanimous Ineffective Behaviors 48

CHAPTER FOUR: SUMMARY AND DISCUSSION 51

School Characteristics and Leadership Dimensions 51
School Characteristics and the Secondary School Dynamics Model 54
General Observations 55
Conclusion 56

Bibliography. 58

Appendix A. 63

LIST OF TABLES AND FIGURES

Page No.

Figure 1: Model of Secondary School Dynamics 7
Table 1.1: Relationship of School Characteristics to Research Literature. 13
Table 2.1: Location, Setting, and Size of Secondary Schools 25
Table 2.2: Characteristics of Observers 26
Table 2.3: Characteristics of Panel Members 29
Table 3.1: Leadership Dimensions of Unanimous Effective Behaviors . . . 47
Table 3.2: Leadership Dimensions of Unanimous Ineffective Behaviors . . 50
Table A.1: Number and Percentage of Identified and Retained Behaviors Per Characteristic 64
Table A.2: Number and Percentage of Identified and Retained Behaviors . 65
Table A.3: Frequency Ranking of Effective and Ineffective Behaviors . . 67
Table A.4: Frequency of Ranking of All Retained Behaviors 67

CHAPTER ONE

INTRODUCTION

The purpose of our research was to identify those behaviors of secondary school principals that are associated with an effective school environment. A number of previous studies have examined the principal's role. These studies can be divided into three groups:

1. Studies that identify the components of a principal's time but do not relate the components to school effectiveness.
2. Studies that describe the social and structural determinants of the principal's actions but do not relate the determinants to school effectiveness.
3. Studies that define the characteristics of an effective school but, aside from the broad characteristic of "leadership," do not identify the behaviors of the principal that lead to establishing an effective school.

As part of our research project we also attempted to begin to synthesize these areas.

We believe this research is significant for five reasons. First, the principal behaviors identified are grounded in a model of organizational effectiveness. The behaviors are linked with key characteristics of effective schools that are set forth in the model. This linkage helps to clarify how specific principal behaviors affect various aspects of a secondary school system.

Second, the research is important because the changing forces in education are placing a greater emphasis on the administrator's role in creating an effective school environment. Even when this research was being conceptualized, Duckworth (1981) had already pointed out that such factors as falling reading and math scores on the SAT, the call for competency-based education, the addition of special programs for gifted and disadvantaged students, and interventions by courts were all making it necessary for schools to become more effective. Since then, the call to identify ways the

principal can make schools more effective has become louder. This is evidenced by the fact that the role of the principal in creating effective schools has been the subject of a number of recent conferences and journal articles (e.g. Bossert et. al. 1982; Greenfield 1982; Yukl 1982).

Third, there is still conflict over what the role of the principal is and what it should be. Salley, McPherson, and Baehr (1978) argue that the role has so many structural determinants that the principal may end up as the scapegoat for ineffective schools when, in fact, there is very little the principal can accomplish, given the restrictions on the job. Similar arguments have been made concerning the superintendent (Pitner 1979, 1982). One study, funded by the National Institute of Education (NIE) under the direction of the Center for Educational Policy and Management (CEPM), examined the influence of substitutes for leadership in secondary schools, such as exceptional teachers or a strong parent-teacher organization (Pitner 1982). Conversely, others have suggested that the principal plays a powerful role (Morris, Crowson, Hurwitz, and Porter-Gehrie 1981; Rutter, Maughan, Mortimore, and Ouston 1979). Still others question how important the principal's role is in carrying out the support functions that increase the effectiveness of different classroom organizations (Gersten and Carnine 1981). But, in none of the research is a clear linkage made between principal behaviors and characteristics of effective schools. Our research presents behaviors that may assist in making the linkage.

The fourth reason this research is significant is that examining and identifying effective behaviors of principals can produce a number of positive outcomes. It will provide useful information for principal training and development programs and for the selection, placement, and evaluation of principals. It is also useful for principals who are interested in becoming more effective. Furthermore, our research effort was designed to identify the principal behaviors that create the agenda, resource allocation, and

incentives that make teachers more effective.

The fifth contribution of this research is that it builds a framework for examining principal behaviors in light of existing school effectiveness research. The school effectiveness research must be approached with caution for a number of reasons (Rowan, Bossert, and Dwyer 1983). Critics cite problems of finding reliable test-retest measures and point out that different statistical measures identify different kinds of schools. Further, they assert that school differences account for only a small percentage of total variance in student achievement. However, the future research they suggest on school effectiveness can be aided by present research. First, to solve some of the problems with school effectiveness research, some authors urge further research on within-school differences in performance (e.g. Gersten and Carnine 1981). The evidence suggests that principal behaviors create different school characteristics that affect classroom organization. The present study can help identify principal behaviors that foster each school characteristic.

A second recommendation of critics of school effectiveness research is that this research should focus on outcomes that are broader than basic skills outcomes because schools do much more than provide basic skills. Again, our research links principal behaviors with various school characteristics that can be associated with several outcomes of schools. Finally, Rowan, et al. (1983) call for analysis of what happens when principals spend more time on instructional leadership and less on other leadership aspects. The model developed in this research should also provide a framework for the analysis of this question.

Weaknesses in school effectiveness research should not suspend efforts to establish linkages between principal behaviors and school characteristics. Establishing the impact of principal behavior on school characteristics is an essential step in an overall paradigm of school

effectiveness. As research on school effectiveness progresses, those school characteristics that are important will be identified and the influence of principal behavior can then be linked with school effectiveness.

A Model of Organizational Effectiveness

Although, other authors do view principal behavior without an organizational framework (e.g. Boyatzis 1982; Mintzberg 1973; Martin and Willower 1981; Wolcott 1973), we believe that the first exercise in viewing principal behavior should be to conceptualize a model of how that behavior is linked with other elements of the secondary school. While other efforts have served to focus attention on specific activities of principals, the present effort goes beyond the mere identification of activities, by attempting to clarify the relationships between principal behaviors and school characteristics. Clarifying these relationships can lead to a better understanding of organizations and principals. This approach to studying principal behavior is in concert with Starbuck and Nystrom's emphasis on making predictions as opposed to beginning with passive observation:

> ...the notion that one should understand organizations before one tries to improve them is backwards; someone who relies on passive observation will never understand organizations well enough to formulate useful prescriptions. Organizational dynamism and flexibility imply that one can better understand organizations by making predictions, instigating changes and watching the reactions (1983, p. 155).

Choosing a model of effective organizations is not as overwhelming a task as it first appears. The literature is voluminous and offers at least four basic types of models to choose from: the general systems model (e.g., Katz and Kahn 1978); the goal model (e.g. Steers 1977); the resource dependency model (e.g. Pfeffer and Salancik 1978); and the constituencies model (e.g. Pennings and Goodman). However, Cameron and Whetten (1983) concluded that organizational effectiveness is such a broad domain of inquiry that it requires multiple models. In this way, various research interests

can be pursued to provide unique insights into organizations.

The researcher's task is to specify a model of effective organizations that follows certain guidelines. First, the model should start with the basic questions of organizational assessment: (1) what are the desired results of the organization?, (2) how does one measure the desired results?, and (3) what produces or causes the desired results? (Van de Ven and Ferry 1980). The first question is a value-based judgment about a desirable end result. It should not be confused with the second question, which is a question of fact about the observed relationships among a set of specified variables. Once specified, the normative bases for the goals allow for further study of organizations, regardless of the number of people who oppose or support them (Campbell 1977, and Scott 1976). This second question leads to the scientific inquiry among the specified variables.

The purpose of this study was to identify principal behaviors that affect key characteristics of secondary schools linked by the literature to student achievement. We needed a model that described how principals may have an impact on the interrelationship of various characteristics of the schools.

Two implicit models in the school effectiveness literature were identified. In the first model, Purkey and Smith (1982) identified 13 characteristics according to two main categories: process variables and cultural variables. They hypothesized that the two categories were factors linked with effective academic achievement. However, the two categories did not provide a comprehensive model for two reasons. First, the model combined outcomes and effects (Brewer 1983). Outcomes are short-term results that have direct causal linkages with internal variables. For example, an orderly atmosphere is a short-term result, or outcome, that has relatively clear linkages to clear and consistent policies, shared responsibility, and positive support (Lasley and Wayson 1982). An effect is a longer-term result

whose linkages are not nearly so clear. For example, staff stability is a result of a number of variables such as nonwork factors (e.g. a spouse's job condition), district enrollments, and alternative job opportunities (Mowday, Porter, and Steers 1982).

The second limitation of Purkey and Smith's variables was that they were not designed to be an organizational model and therefore did not define a clear role for principal behavior in an organization. Many of the characteristics appeared to be outside the major influence of the principal. For example, the amount of autonomy the school enjoyed would most likely be influenced primarily by its district office. A model of the factors influenced by principal behavior was needed.

The second model of principal behavior, from Bossert et al. (1982), proposed the idea that principal behavior influenced two variables: school climate and instructional organization. While this added to the dimension of instructional organization, it did not provide a framework for specifying different types of organizational variables in greater detail and for separating outcomes from effects.

A Secondary School Model

A model that does analyze the relationships among a set of elements in an organization is the organizational dynamics model by Kotter (1980). The model, as adapted for secondary schools, consists of three major sets of variables. The first is a set of seven elements that play a key role in establishing the dynamics of an organization (See Figure 1). The second set

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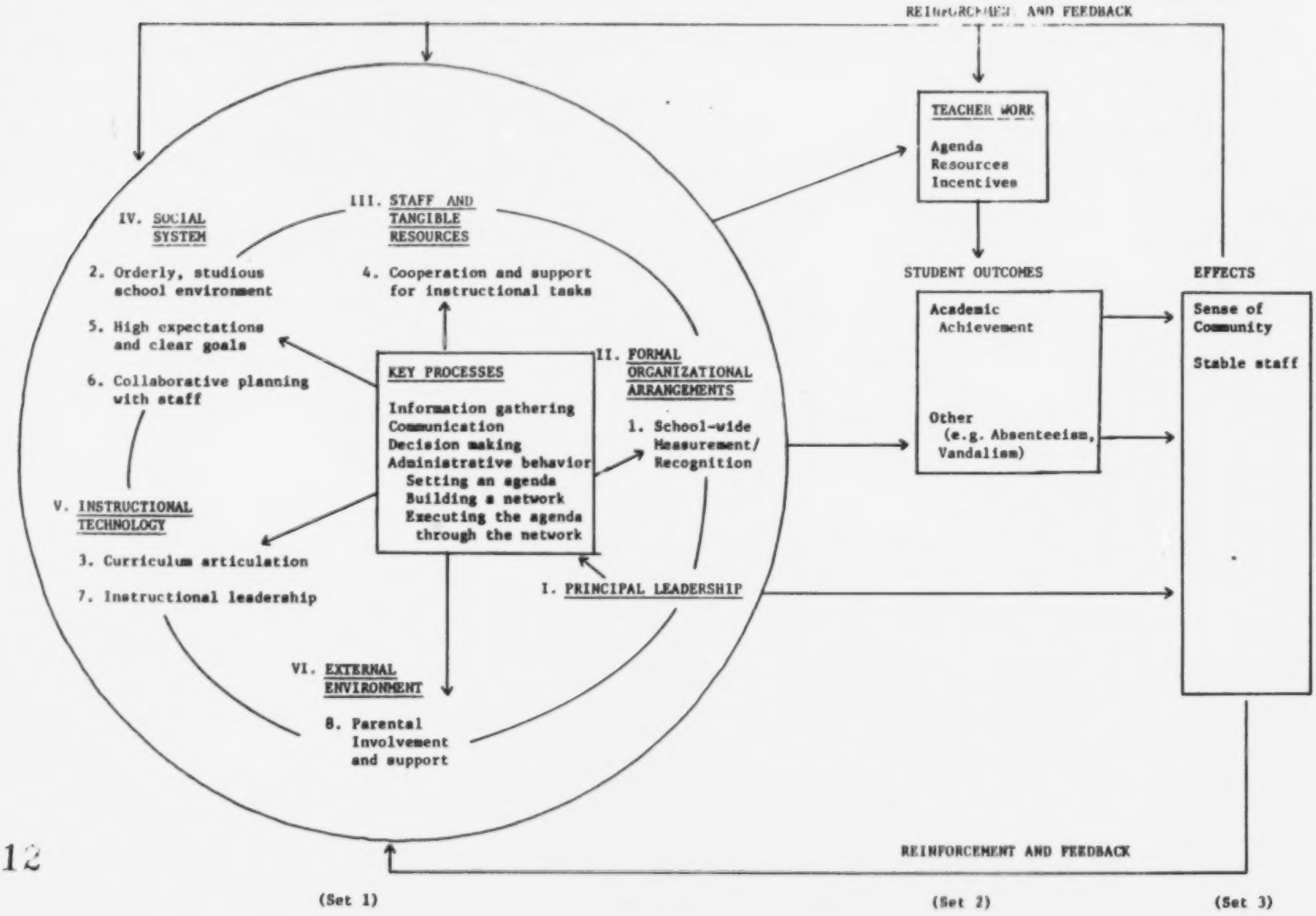
FIGURE 1
MODEL OF SECONDARY SCHOOL DYNAMICS



of variables is a list of various immediate or short-term outcomes from the school. The third set, labeled effects, includes variables that result over a long term. Each set of variables is explained in greater detail below.

The first set consists of key processes, the first elements and six other organizational elements that define the dynamics of the school. The key processes determine how efficiently the schools are run. As defined for this model, the key processes are information gathering, communication, decision-making, and administrative behavior, which contains three more processes: setting an agenda, building a network, and executing the agenda through the network. Through these processes principal behavior influences the other six organizational elements.

The other six organizational elements in the first set are school characteristics: principal leadership, formal organizational arrangements, staff and other tangible resources, social system, instructional technology, and external environment. Secondary schools producing effective outcomes are defined as those having proper alignment among these six school characteristics while maintaining efficiencies through the key processes.

The sets of outcomes and effects consist of variables that are short-term and long-term results of the organization, respectively. The feedback loops indicate that the outcomes influence the school characteristics as well as being influenced by them. Both the school characteristics and the outcomes and effects are described in greater detail in the following sections.

School Characteristics

The school effectiveness literature has focused primarily on the elementary school, but the comprehensive work of Rutter, Maughan, Mortimore, and Ouston (1979) did focus on secondary school systems in a way consistent with elementary school studies. Recent school effectiveness studies were

apparently initiated by the analysis of four successful inner city elementary schools (Weber 1971). Successful schools were identified by the reading ability of the students. Weber found that four characteristics were present in these schools: (1) strong leadership from the principal; (2) high expectations of students by teachers; (3) an orderly, quiet atmosphere; and (4) an evaluation system for pupil reading skills.

The Weber study was followed by a study of one effective and one ineffective elementary school as measured by the reading level of the students. That study by the state of New York Office of Education (1974) identified the school leaders' balance of administrative and instructional skills as an important variable. A more sophisticated effort was conducted in California, where 21 pairs of elementary schools were studied to compare effective with ineffective schools (Madden et al. 1976). The study confirmed the importance of an orderly, task-oriented atmosphere and strong principal support. It also suggested several other characteristics, including increased teacher effort, a broader range of subjects, the principal's involvement in instructional policy, the restriction of teacher aides to nonteaching assignments, and support from district administration. The studies did not find that the teachers had higher expectations of student achievement or that the schools had a program to evaluate pupil progress.

An important study was carried out in eight Michigan schools, six of which were above and two below the state norms in reading and math (Lezotte, Edmonds, and Ratner 1975). This study produced characteristics of effective schools similar to the Weber study: objectives for reading and math; high expectations and levels of confidence in students' abilities; use of instructional skill methods in teaching reading and math; the acceptance of an accountability model adopted by the State of Michigan; and the principal as an instructional leader. In further studies, Edmonds (1978) identified many of these same variables and proposed five general characteristics: (1)

strong leadership, (2) high expectations, (3) orderly atmosphere without rigidity, (4) an emphasis on basic skills, and (5) a system to monitor the progress of pupils.

Twelve inner city secondary schools in London, England, were studied to determine the factors leading to the effectiveness of those schools as defined by four broad criteria: attendance, rule-oriented behavior, academic outcomes, and level of delinquency (Rutter, Maughan, Mortimore, Ouston, and Smith 1979). The factors identified as leading to effectiveness were (1) a cooperative atmosphere, (2) a system of student rewards and incentives, (3) strong staff organization with patterns of shared decision making with teachers, and (4) some method of evaluating teacher homework assignments. Stallings (1981), in her study of effective secondary schools, suggested a different set of characteristics, although there was considerable overlap. She found that effective secondary schools had (1) consistently enforced standards for absenteeism and tardiness, (2) staff development programs, (3) recognition of student successes and achievements, (4) minimal intrusions in classrooms so teachers could maintain control without interruptions, (5) permanent room assignments, and (6) good maintenance and upkeep.

Studies of both elementary and secondary schools were well summarized in a comprehensive review by Purkey and Smith (1982, pp. 37-41) who identified four climate and nine organizational characteristics. The climate characteristics needed "...to grow organically in a school and were not directly susceptible to bureaucratic manipulation." The climate variables were (1) collaborative planning and collegial relationship, (2) sense of community, (3) clear goals and expectations commonly shared, and (4) order and discipline.

The organizational variables were capable of being "set into place by administrative and bureaucratic means." The organizational variables were (1) school-site management, (2) leadership, (3) staff stability, (4)

curriculum articulation and organization, (5) staff development, (6) parental involvement and support, (7) school-wide recognition of academic success, (8) maximized learning time, and (9) district support.

This list was reviewed along with seven characteristics identified in our original proposal (Russell and White 1982). From these two sources we chose eight characteristics that met four selection criteria. The criteria incorporated in choosing the eight characteristics were as follows: (1) We had to believe that the principal behavior could directly affect a characteristic; (2) the characteristic could not be seen as a result of academic success; (3) the behavior should be observable; and (4) principal behavior had to be the major determinant of that characteristic. Through the application of these rules and an analysis of the seven original characteristics from our proposal (see Figure 1) and the Purkey and Smith characteristics, we established the eight characteristics listed below.

1. School-wide measurement and recognition of academic success. This enabled schools to monitor, recognize, and reward achievement and provide feedback to the students, teachers, and parents. These actions could take the form of awards assemblies, special student recognition, or other rewards based on academic progress.

2. Orderly, studious school environment. This could be accomplished by consistently enforcing policies relating to absenteeism, tardiness, and discipline. The Purkey and Smith definition included the offering of programs for advanced study, so our category included this dimension also.

3. Emphasis on curriculm articulation. The characteristic includes coordinating instructional programs within the secondary school, and between the secondary school and the feeder schools. (This characteristic was identified by Purkey and Smith (1982) and was not included in our original seven characteristics.)

4. Support for instructional tasks. This could be accomplished by avoiding intrusions in the classrooms, providing school resources in a controlled and organized manner, and keeping permanent room assignments.

5. High expectations and clear goals. Our initial review did not establish high expectations as a factor in the secondary schools studies. Purkey and Smith (1982) identified clear goals and expectations commonly shared, but we believed the goals and expectations had to emphasize high academic achievement.

6. Collaborative planning with staff. The staff organization variables consistently indicated that the staff of effective schools made decisions jointly, with representation from many sometimes conflicting viewpoints.

7. Instructional leadership. This characteristic could be represented by such behaviors as imparting instructional skills, encouraging or demanding staff development, or demonstrating instructional leadership.

8. Parental involvement and support. Principal behaviors in these areas involve parents in an influential way in the recognition of academic success, provide resources for recognition, and assist students in achieving academic success.

These eight characteristics satisfy a number of criteria. First, they all match the four requirements we established for a characteristic that could be influenced by principal behavior. Second, they encompass variables identified in the Purkey and Smith study. Third, they relate to variables identified in other reviews of the school effectiveness literature (see Table 1.1).

These variables also fit within the elements of the model of secondary school effectiveness we identified earlier (see Figure 1). Formal organizational arrangements include variable 1, school-wide measurement and recognition of academic success. Staff and tangible resources includes variable 4, support for staff instructional tasks. Social system includes variable 2, orderly and studious school environment; variable 5, high expectations and clear goals; and variable 6, collaborative planning with staff. Instructional technology includes variable 3, curriculum articulation, and variable 7, instructional leadership. External environment includes variable 8, obtaining parents' involvement and support.

TABLE 1.1
RELATIONSHIP OF SCHOOL CHARACTERISTICS
TO RESEARCH LITERATURE

CHARACTERISTICS	LITERATURE LABELS	AUTHORS
1. School-Wide Measure/Academic Success	School-wide recognition of academic success	Purkey and Smith 1982
	Frequently evaluates pupil progress	Sweeney 1982
	Public rewards and awards	Dudley 1983
	Frequent monitoring of student progress	Shoemaker 1982
2. Orderly, Studious School Environment	Order and discipline	Purkey and Smith 1982
	Provides orderly atmosphere	Sweeney 1982
	Orderly positive school atmosphere	Dudley 1983
	Safe and orderly environment	Shoemaker 1982
3. Curriculum Articulation	Curriculum articulation and organization	Purkey and Smith 1982
	Coordinates instructional program	Sweeney 1982
	Organization and coordination	Dudley 1983
4. Support Staff Instructional Tasks	Maximized learning time	Purkey and Smith 1982
	Supports teachers	Sweeney 1982
	Secure resources	Dudley 1983
	Opportunity to learn and student time on task	Shoemaker 1982
5. High Expectations and Description Tools for Performance	Clear goals and high expectations commonly shared	Purkey and Smith 1982
	Emphasizes achievement	Sweeney 1982
	Purpose and direction	Huff, Lake, and Schaalman 1982
	High expectations	Dudley 1983
	Clear and focused school mission	Shoemaker 1982
	Climate of high expectations	Shoemaker 1982
6. Collaborative Planning with Staff	Collaborative planning and collegial relationships	Purkey and Smith 1982
	Consensus management	Huff, Lakes, and Schaalman 1982
7. Instructional Leadership for Teachers	Staff development	Purkey and Smith 1982
	Sets instructional strategies	Sweeney 1982
	Quality enhancement	Huff, Lake, and Schaalman 1982
	Strong instructional leadership	Dudley 1983
	Staff development	Dudley 1983
	Instructional leadership	Shoemaker 1982
8. Parental Involvement and Support	Parental involvement and support	Purkey and Smith 1982
	Parent support	Dudley 1983
	Home school relations	Shoemaker 1982

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These eight variables from the school effectiveness literature served as the school characteristics that are influenced by principal behavior. We believed the role of principal behavior needed to be clarified in the school effectiveness literature, particularly with respect to secondary principals. To quote Rutter et al. (1979):

> The influence of the head teacher [principal] is obviously very considerable. This is an issue which is now important to investigate (p. 203).

Outcomes and Effects

As can be seen in the model in Figure 1, the outcomes from the organization are the various criteria associated with the school effectiveness literature. The outcomes include such variables as reading and math achievement, attendance, and level of delinquency (Rutter, Maughan, Mortimore, and Ouston 1979). These outcomes are believed to be closely linked with the seven elements of effective schools described in the organizational dynamics model.

In keeping with the work of Brewer (1983), we use the term effects to mean long-term results that do not have as clear a linkage with the variables in the model. Effects are variables that are produced by effective schools but may also affect schools. As such, the causal relationship is complex and not under the direct influence of principal behavior. Principal behavior influences variables that, in turn, influence both outcomes and effects.

For example, sense of community is labeled a long-term effect because Purkey and Smith (1982) describe it as an outgrowth of the school's reputation for academic excellence, yet it may play an important role in that success. In our model, sense of community is influenced by elements of the organization itself as well as its outcomes. However, sense of community could be expected to influence the social culture and personnel resources of the school, so a feedback loop represents that relationship.

The stable staff variable (Purkey and Smith 1982) is also labeled an effect because it is not clear whether it occurs as a result of a sense of community, effective hiring practices, job performance, organizational structure, alternative job opportunities, or nonwork influences (Mowday, Porter, and Steers 1982). These variables are directly influenced by such principal behaviors as holding faculties accountable for instructional competencies and providing inservice training (Newmann and Behar 1982). Nevertheless, a stable staff would be expected to have an impact on the social system and the human resources characteristics of the school.

Principal Work

Principal work influences academic outcomes indirectly as described in the model by Duckworth (1983) and adapted to the secondary school model developed here. Principal work affects characteristics of the school related to teacher work in three areas: teacher agenda, teacher resources, and teacher incentives. Teacher work then influences student behavior in the classroom, which is where academic performance occurs (Tomlinson 1981).

Exactly how principal work influences the eight characteristics has not received adequate attention. The National Institute of Education commissioned three studies on principal leadership (Greenfield 1982; Pursell 1982; and Yukl 1982). Greenfield cited a list of enduring characteristics (e.g. ability to work face to face and ability to manage conflict and ambiguity and adapt to rapidly changing environmental, human, and social conditions) that were not directly linked to any of the eight characteristics we identified.

Greenfield did reiterate the three fundamentals of leadership originally enumerated by Blumberg and Greenfield (1980). They were (1) a vision of what school might be, (2) taking initiative to set activities in motion towards realizing such a vision, and (3) principals' resourcefulness

in focusing their energy and the energy of others on such activities. These are similar to the three categories of behavior identified for general managers in private industry: (1) setting an agenda, (2) building a network of cooperative relationships, and (3) executing the agenda and getting the network to implement it (Kotter 1982).

Greenfield's study was designed to examine descriptions of specific principal behaviors related to each school characteristic. Leadership, per se, was not a category that was studied, but rather inherent in the entire study. For example, the visions or goals were assumed to be the eight characteristics identified from the literature. Initiating activities was to be studied by identifying actual principal behaviors in several areas and finally, resourcefulness was to be studied by identifying specific behaviors recognized as particularly effective.

Pursell (1982) identified nine implications for principals from the school effectiveness literature. They closely match the eight characteristics incorporated into our study. According to Pursell, effective principals

a. display commitment to academic goals
b. create a climate of expectations and respect
c. provide instructional leadership
d. are forceful and energetic
e. exercise interpersonal skills
f. facilitate instruction, especially through discipline
g. develop organizational potency
h. devote time to instructional matters
i. observe, monitor, and evaluate

The first three categories are similar to school characteristics 1, 5, and 7. Implications (d) and (e) are similar to traits that may or may not be identified in the collection of behaviors. Implication (f) corresponds to school characteristic 2. Implication (g) is a global implication that is similar to accomplishing the efficiency and alignment described in the school effectiveness model. Implication (h) is similar to school characteristic 7, and implication (i) is inherent in all the eight school characteristics.

Yukl (1982) identified 22 generic leader behaviors that represented a significant synthesis of his and others' work, but they were not applicable to the present research. They represented behaviors, but not ones that observers had identified as leading to the school characteristics under study. While Yukl also identified important functions for principals that were similar to Pursell's (e.g. develop goals, policies, and direction; organize the school and design programs), they, like Pursell's, were represented in the eight school characteristics in the present study.

Two other leadership studies also identified categories for consideration. First, Boyatzis (1982) identified three clusters of competencies that were significantly related to effective middle level managers: goal and action management, leadership, and human resources management. While the clusters are similar to the factors identified by other researchers, the clusters consist of competencies, which are more than just behaviors. Competencies also include bodies of knowledge, traits, self-image, skill, and motives.

The second study was done on principal behavior by Bossert, et al. (1982). Their model of principal behavior leading to school climate and instructional organizing was discussed earlier, but their emphasis on instructional leadership is directly related to the present research. They describe instructional organizing as direct or indirect. Direct behaviors--such as increasing time on task, limiting class size, or arranging class composition--immediately affect the teacher's and the child's classroom behavior. The indirect behaviors--such as arranging curriculum tracks, organizing teams and departments, and coordinating such efforts when the secondary school becomes complex--influence teachers outside the classroom. The two categories relate directly to several variables in the secondary school dynamics model: specifically, curriculum articulation; cooperation and support for instructional tasks; orderly, studious school environment;

and instructional leadership.

Three conclusions related to our current research emerge from the reviews of principal leadership. First, research is needed to link principal leadership directly to school effectiveness characteristics. Second, specific behaviors are needed to describe how principals undertake such activities as communicating a vision or demonstrating resourcefulness. Such behaviors would be particularly relevant if they were ones that observers of principal behavior agreed are effective. Finally, the eight characteristics represent the domains identified in the research as essential for effective principals.

Principal Activity Research

Another approach to principal leadership is to identify the amount of time principals spend in various activities. Mintzberg (1973) conducted an initial set of observations of chief executives, including one school superintendent, using a methodology that was soon replicated in other school settings (Peterson 1978; Martin and Willower 1981; Morris et al. 1981). The results of each study will be briefly explained here and then critiqued in light of the objectives of this study.

Martin and Willower (1981) observed five high school principals for one week each and found 44.8 percent of their time was spent in scheduled and unscheduled meetings. Desk work and brief exchanges involved only 25 percent of their time with the rest devoted to tours of the building and monitoring activities. An analysis of the purpose of the activities by time indicated that organizational maintenance (e.g., schedules, rules, monitoring) involved 36.5 percent of the time, pupil control occupied 23.8 percent, and academic programs involved only 17.4 percent of the principal's time. An analysis of exchanges indicated that 63 to 64 percent of the principal's time was spent in verbal exchanges, 92.6 percent of which focused on teachers, students,

parents, or staff.

Fifty percent of all principals' activities in the Martin and Willower study were interrupted for another exchange or interchange. These findings are similar to those of Mintzberg (1973), who found the work of chief executives to be characterized by a rapid pace, brevity, variety, and fragmentation.

Martin and Willower's study did not identify effective behaviors or effective allocation of time. They did not differentiate effective principals from ineffective principals; therefore, although the research serves as a guide to behaviors, it does not clarify how the principal can create an effective school environment.

The Morris et al. study (1981) analyzed the role of 16 principals on two levels. It consists of a description of the time principals spent in various activities and also discusses the discretionary power the principals possessed. The researchers' explication of the principal's role is similar to other studies in that the principal's day was characterized by brief interactions, fractionalized conversations, and piecemeal activities. Over two-thirds of the principal's time was characterized as talking with others. However, the study went further in describing what the researchers determined to be a great deal of latitude in discretionary power within the constraints of the educational system. Morris and colleagues found that principals were able to exercise discretion in four areas related to the school effectiveness literature, which will be discussed in a later section. The four areas were (1) creating an orderly, stable condition within the school building--similar to the "organizational maintenance" role in Martin and Willower (1981); (2) buffering the teachers from the community environment; (3) adapting the central administration's policies to the needs of the local school building; and (4) protecting classrooms from interference with instruction (e.g., announcements kept brief, paperwork completed, textbooks secured).

Careful analysis of the principal's role by Morris and colleagues indicated that there is much more latitude for effectiveness than would be expected by examining the constraints on the principal. While their study suggested that principals do have discretion to be effective, it did not point out which actions or behaviors made the schools effective.

The findings of Peterson's study (1978) of two elementary school principals were similar to those of the Martin and Willower study (1981). The principals spent 38 percent of their time with students and 31 percent of their time with professional staff. Only 18.5 percent was spent on administration. Peterson used Sayles's (1964) categories of activities to analyze principals' activities and found that the principals spent their time primarily in service or advisory roles with students and teachers. They spent less than 10 percent of their time observing classes and less than 5 percent maintaining work flow. They did not spend any time on innovation or other work unit coordination roles.

Peterson's study emphasizes the internal focus of the elementary principal. However, the findings may not be particularly helpful for the secondary principal for several reasons. First, the secondary principal has multiple levels of administration; frequently has department chairpersons who can thwart the chief administrator's plans (Cusick 1981); and faces other organizational differences such as specialization and diversification, greater alienation, looser coupling, and vocational programs (for a review, see Newmann and Behar 1982).

In summary, the literature on the way principals spend their time indicates they are involved in many brief, verbal interchanges with teachers, pupils, and staff. These interchanges provide more latitude for decision making than may be supposed by looking at the constraints on principals' actions. They spend proportionately very little time on curriculum matters and a considerable amount of time on organizational maintenance to the

exclusion of formal planning and innovation. These three studies are only able to describe relatively few schools by the nature of their methodology, so there is no opportunity to compare principals' actions across a broad spectrum of school settings. Analysis across school settings can identify the social and structural constraints on principals that are often missed by observation analysis. A body of literature that addresses the constraints of social and structural settings is reviewed in the next section.

Social and Structural Settings of Secondary Principals

There is a great deal of literature on the social-structural settings of schools (Bacharach 1981; Meyer and Associates 1978; and Sarason 1971). The Baehr et al. study (1974), one of the most significant, developed the Job Functions Inventory for analyzing important aspects of principals' job functions. This study was undertaken to identify the interface between the activities of the principal and the social-structural system variables that demand different priorities for performance. The study encompassed 619 principals in various locations in the United States, and was begun under the auspices of the Consortium of Educational Leadership in 1974. The study was a cross-sectional analysis using a forced distribution questionnaire on which the principals reported on the importance of 180 activities representing 17 different dimensions of behavior. The results were analyzed with Multivariate Analysis of Variance to determine which personal, school, and socio-economic characteristics would affect the importance of the dimensions of behavior.

The results indicated that social-structural variables caused principals to emphasize different behavioral dimensions. The personal characteristics of the principals were relatively minor factors in the overall analysis of the importance of the dimensions. The authors concluded that it is unrealistic to view the principal as a "change agent" or an

"instructional leader" because of the restrictions on the principal's position.

In this study by Baehr and colleagues, there is no measure of school performance or effectiveness. The authors did not report the dimensions that lead to effectiveness, but rather the dimensions that the surveyed principals considered important. The focus of our study is to extend this type of research by identifying which dimensions are important for effective schools. More work needs to be done in this area to clarify these types of questions for the secondary principal.

Finally, the research by Salley et al. (1978) made another contribution to the literature by identifying four leadership styles of principals, any of which may lead to effective schools. The four styles were the involvement and support of groups, the emphasis on student academic performance, the development of qualified staff, and a managerial approach. These styles were not validated against school effectiveness either, but they represent styles that may be effective and that may provide insight in developing a set of actions and behaviors that lead to school effectiveness.

Summary

The review of the literature revealed three areas to be investigated. First, principal behaviors need to be grounded in a model of secondary school effectiveness, which the secondary school dynamics model offers. Second, research is needed that links principal work directly with school characteristics. Finally, specific behavioral data need to be identified that observers agree are essential in order for a school to develop characteristics linked with school effectiveness. These behavioral data can be used in research on such questions as whether the principal is essential to school effectiveness.

CHAPTER TWO

METHODOLOGY

This pilot study employed the Critical Incident Technique (CIT) in order to gain specific examples of effective and ineffective behaviors associated with each of the eight characteristics identified in the literature review. Below is a summary of the steps followed in the study.

Sample

The sample was drawn from 12 high schools and 4 junior high schools in Oregon and Kentucky. Three of the high schools were rural schools, while the rest urban. The study encompassed nine school districts, including one district where only the superintendent was interviewed. The schools are listed in Table 2.1. The sample intentionally included a broad array of school characteristics, making it consistent with the diverse nature of schools engaged in improving secondary school effectiveness. As noted by Farrar, Neufeld, and Miles (1983), most effective schools programs are being implemented in rural schools (69 percent), while suburban and medium sized cities make up most of the remaining school reform efforts (16 percent and 12 percent respectively). Only 4 percent of school effectiveness programs are being implemented in large cities, even though the research in school effectiveness was initiated in urban schools with a large proportion of minority and lower socio-economic status students.

The observers chosen from a list of names provided by the Center for Educational Policy and Management, the Oregon School Boards Association, and professional acquaintances were contacted after screening. Participants

Table 2.1
LOCATION, SETTING AND SIZE OF SECONDARY SCHOOLS

HIGH SCHOOLS

School District Location	Setting	Name	ADM [1]
Albany, OR	Urban	South Albany	1,100
Creswell, OR	Rural	Creswell High	336
Cottage Grove, OR	Rural	Cottage Grove High	686
Eugene, OR	Urban	North Eugene	1,001
Eugene, OR	Urban	South Eugene	1,166
Lexington, KY	Urban	Henry Clay	1,700
Lexington, KY	Urban	Lafayette	1,850
Pleasant Hill, OR	Rural	Pleasant Hill High	469
Portland, OR	Urban	Centennial High	1,500
Salem, OR	Urban	North Salem	1,655
Salem, OR	Urban	McKay	1,360
West Linn, OR	Urban	West Linn High	1,180

JUNIOR HIGH SCHOOLS

Eugene, OR	Urban	Cal Young	455
Eugene, OR	Urban	Madison	622
Eugene, OR	Urban	Roosevelt	777
Eugene, OR	Urban	Spencer Butte	500

[1] ADM is the acronym for "average daily membership," the average number of pupils in attendance in the high school with which the interviewee(s) was/associated.

represented eight groups of observers: principals, other secondary school or district administrators, teachers, district superintendents, classified staff, expert observers, parents, and students.

TABLE 2.2
CHARACTERISTICS OF OBSERVERS

	No.	Average Position Experience	Average Educational Experience
Principals	7	9.5 years	21.5 years
Administrators	14	7.7	17.0
Teachers	8	6.25	11.8
Superintendents	8	9.0	27.0
Classified	7	2.33	5.3
Expert Observers	3	9.0	20.0
Parents*	4	-	-
Students	4	4.0	12.0
Sex			
Female	12		
Male	43		

*The four parents were current or immediate-past PTA presidents for three inner city schools in Lexington, Kentucky.

The precise number and average experience of each group of observers is listed in Table 2.2. Observers were required to have had considerable expertise in education. Principals had to have had over five years' experience in more than one school building and the opportunity to observe more than one principal. Teachers, school administrators, and classified staff were required to have had five years' experience and the opportunity to observe more than two principals. District superintendents had considerable experience in their field, while experts had numerous experiences and visitations on which to draw. These criteria were not used for parents and students.

Data Collection

Observers in the study were initially contacted by telephone. At that time the survey was explained and an appointment for an interview was made. A follow-up letter was sent confirming the date and asking the observers to prepare for the interview by considering incidents during which they had observed secondary principals demonstrating effective and ineffective behaviors. An effective behavior was defined as one that observers wished all principals would perform under similar circumstances. An ineffective behavior was one which, "if it occurred repeatedly (or even once under certain circumstances), would make you doubt the competency of the individual."

The Critical Incident Technique was used in the interviews. Nine of the interviews were group interviews and 22 were individual interviews. The only difference between the group interviews and the individual interviews was that observers in the group interviews were asked whether they agreed with each observation an individual made. The observation was included if at least 75 percent (3 out of 4) of the observers agreed that the behavior was appropriate for the category.

The interviews were conducted in such a manner that the process would not bias the results. Each interview began with a redefinition of effective and ineffective behaviors, followed by several examples. When the observers and the interviewer believed the terms were clearly understood, the interviews began. Each person (or group) was asked to begin with one of the eight characteristics, but the characteristics were chosen in a random order so that the results did not create bias favoring any one characteristic. An attempt was made in each interview to identify eight behaviors for each characteristic, but not all interviews generated that many observations. When the observers and the interviewer believed a particular characteristic

was complete, the interviewer proceeded to another one. Observers were allowed to start with either effective or ineffective behaviors, but they were asked to continue with that characteristic until all behaviors they could think of that promoted it were identified.

Analysis

The three researchers edited the behaviors. Observations that included general behavioral descriptions (rather than trait descriptions) were retained. Those that contained items unique to a particular school situation were eliminated. The 1,038 items that were retained at this point were placed on cards.

To verify the correct characterization of the behaviors, the researchers re-sorted each card or set of cards one at a time according to our eight characteristics. Once the behaviors were reallocated by each researcher, the cards were again marked to identify the specific effective or ineffective characteristic to which they had been allocated. This process was continued until each card had been allocated three times by the researchers.

The next step was a review by a panel of experts. The panel, with one exception, consisted of people who had not been observers. The exception was an expert who had participated in the original identification of behaviors and had expressed an interest in seeing the behaviors in light of his previous research. The characteristics of the panel are summarized in Table 2.3.

Table 2.3
CHARACTERISTICS OF PANEL MEMBERS

Current Positions	Setting	Age	Sex	Previous Experience[1]				
				Dist Admin	Prin	Asst Prin	Teacher	Counselor	Other
Superintendent	Urban	45	F	1			1		
Asst Superintendent	Urban	50	M		3		2		
Dist Admin/Elem Prin	Rural	30	M	2	1				
Teacher	Urban	33	M				3		2*
High School Admin	Rural	-	M	1		1	1		

[1]Experience represents the number of positions held at different schools or districts.

*Served as president of local NEA chapter and negotiator and field representative for the NEA.

The cards were analyzed according to the amount of agreement among the researchers. When there was complete agreement among the researchers, a panel of three experts was asked to review the cards, but when there were differences of opinion, four panelists were used. The card sort required 4-7 hours to complete, so the cards were split into two sets to shorten the time required for the panelists. Each panelist reviewed approximately half of the cards from each group, using the same procedures as the researchers. After each panelist allocated each card to a characteristic, the characteristic was noted on the card.

When the process was completed, each card had six or seven independent judgments about the particular characteristic to which it belonged, as well as the characteristic identified in the interview. Behaviors were retained within a characteristic when six of the experts and researchers agreed on the effective or ineffective characteristic. There were 335 behaviors with that level of agreement.

Further analysis showed that there were an additional 315 behaviors that were not retained because there was a lack of agreement on a particular

characteristic they were associated with, but there was unanimous agreement that the behaviors were effective or ineffective. These unanimously effective or ineffective behaviors were reviewed to combine similar behaviors into one behavioral description. This review produced 21 effective and 14 ineffective behavioral descriptions. The key point to note about these behaviors is that all observers identified them as an effective or ineffective behavior in more than one characteristic. A discussion of the results follows.

CHAPTER THREE

RESULTS

The observers, researchers, and experts agreed on the characterization of 133 ineffective behaviors and 202 effective behaviors. Because there was such a large number of effective and ineffective behaviors, the researchers divided these behaviors into subcategories that allowed them to generalize about effective principal behavior. Below the types of effective and ineffective behaviors are listed for each of the eight characteristics. The types of behavior are listed by the number of specific behaviors grouped into each category. Effective and ineffective behaviors in each characteristic are then discussed in terms of the three leadership functions: process and/or content agenda setting, establishing a network, and implementing the agenda (Kotter 1982).

Characteristic 1: Providing for School-Wide Measurement and Recognition of Academic Success

Effective

A. ensures that special efforts are made to give high quality recognition for academic achievement. (16 behaviors)

B. sets up systems to provide recognition of academic success. (10 behaviors)

C. encourages the use of standardized testing for student academic performance. (5 behaviors)

D. gives recognition to individual students for their specific academic achievements. (4 behaviors)

Three of the four types of behavior in this characteristic involve principal work in setting up and providing recognition for academic achievement. Of these three, the most frequently mentioned type represented principal effort beyond that usually expected. Examples of this include bringing in outstanding speakers for National Honor Society, placing the

names of special education students on the honor roll, publishing an annual report of academic achievement that is mailed home, or displaying academic awards (e.g. debate trophies) in the school trophy case. The second type involved behaviors that created opportunities for ongoing recognition of academic success rather than for any one particular instance, such as meeting with the city editor of the community newspaper to arrange for regular publication of academic success stories and setting up a network for reporting academic success stories to the local media. The third type of behavior that provided recognition for academic achievement was giving personal recognition to individuals for their academic performance (type #4 in the list). Giving a runner-up in state vocational competition as much recognition at high school graduation as presidential scholars is an example of this behavior.

The other (#3 in the list) major type of effective principal behavior for characteristic 1 was the acceptance, usage, promotion, and dissemination of standardized testing data. One example of this was principals convincing staff that general ability tests in the district were important yardsticks of student performance and pushing for standardized testing in subject areas. While this would seem to be a natural behavior to be categorized under this area, the behavior was not reported often. The area represents an opportunity for principals to demonstrate that academic success is a high priority on the principal's personal agenda, but it also requires the use of test data and networks to implement the recognition.

All three of Kotter's (1982) elements of leadership are present in this characteristic: an agenda item, a network of people to create the agenda, and implementation. The agenda item is the assurance that special efforts are made to give recognition for academic achievement. The cooperative network is inherent in the process of setting up systems to provide recognition, while implementation is accomplished through the

systems, the standardized testing, and the individual recognition.

Ineffective

A. mishandles student recognition. (5 behaviors)

B. ignores or misuses standardized test data. (4 behaviors)

The ineffective behaviors for characteristic 1 are indicative of principal work that fails to place a high priority on academic success and does not use standardized testing as a source of data for guidance. Examples of low priority for academic achievement include uncertainty during an award ceremony about how an award was achieved, ignoring vocational education performance, or refusing to recognize outstanding academic performance because of a belief that high achievers are no better than anyone else. This type of ineffective behavior is in contrast to the effective implementation leadership described above.

The second type of ineffective principal behavior was ignoring or misusing standardized test data. Principals were observed ignoring standardized test scores "because they don't predict," presenting data without any analysis of patterns, or relying exclusively on test scores to compare different schools. The classification represents the opposite of effective implementation leadership actions, so both of the ineffective types of behavior represent weak implementation skills.

Characteristic 2: Promoting an Orderly and Studious School Environment

Effective

A. enforces discipline personally with students to create disciplined and studious atmosphere. (11 behaviors)

B. establishes and enforces a clear code of conduct regarding attendance and absence policies. (8 behaviors)

C. provides support and back-up for enforcement of discipline. (5 behaviors)

D. assigns staff and resources to confront violation of established rules. (4 behaviors)

The four types of behavior in this characteristic also represent Kotter's three phases of leadership: 1) establishing an agenda through a clear code of conduct, 2) building a network with the assignment of staff and resources, and then 3) implementing it by personally enforcing the rules and providing support for enforcement. The most frequently mentioned behaviors were those in which the principal demonstrated a willingness to become personally involved in student discipline. These behaviors included such actions as the principal personally laying down rules at an orientation convocation, personally confronting students who were "goofing off" in a study hall, and being visible in all parts of the campus.

The second most frequently recognized behavior, the presence of an understood and enforced attendance and absenteeism policy, was accomplished in several unique ways. For example, one school used a microcomputer to tabulate attendance for every class period and sent the reports to counselors. Also effective were posting rules in hallways; having only a few comprehensive, easily understood rules; and organizing reporting systems. The only specific rule mentioned was one that required a vice principal go to a classroom to discuss incidents with students so that the students did not miss class because of going to and from the office. On the whole, observers found the clarity and enforcement of the rules more important that the content.

In addition to the previous two types of behaviors, observers identified the need for principals to support disciplinary actions. Making suspensions "stick," referring to bad behaviors and not bad kids, and providing a "suspension room" for disciplining problem students were demonstrations of disciplinary backup.

It is not enough to enforce, establish, and support discipline,

however. Behaviors were identified that related to the ability to muster up staff and resources to support the disciplinary process. The observations ranged from a case in which a principal called in police to break up a fight because administrators couldn't control fights in the school (no problems occurred after that) to assigning counselors for problem students, or assigning staff to areas where there had been problems. Coupled with the three other types of behaviors in this category, the fourth type of behavior provides the final link in a network of order and discipline.

Ineffective

A. permits student behavior that creates a disorderly environment and disrupts classroom time. (5 behaviors)

B. enforces discipline in a weak or inappropriate manner. (4 behaviors)

C. does not establish and enforce a clear code of conduct including attendance and absence policies. (4 behaviors)

D. avoids enforcement of discipline and studious atmosphere. (3 behaviors)

The principal behaviors that were seen as ineffective represented the exact opposite of those behaviors seen as effective. Ineffective behavior is demonstrated by no clear agenda through a code of conduct, no resolution of unruly student behaviors, and no willingness to personally administer discipline. The most numerous agreed upon behaviors were those that allowed certain kinds of behaviors to go undisciplined, such as permitting "a horrendous amount of graffiti" on walls that were going to be painted, excusing students to go shopping, and requiring all students with unexcused absences to report to the office at the same time. Although only one of these "permitted" behaviors (swearing at a teacher) seemed to violate a written rule or policy, the rest offended the sensibilities of the observers and researchers. There appears to be an unwritten yet commonly agreed upon norm for tolerable student behaviors; the ineffective principal permits student behavior that exceeds that norm.

The second most frequently agreed upon behavior was enforcing behavior weakly or inappropriately. The behaviors included not terminating frequently suspended students, refusing to listen to reasons for apparent violations of rules, or even telling a class to "watch that kid in third row--if he pulls a knife, let me know."

Failure to establish and enforce a clear code of conduct is the antithesis of the installation of a clear and understandable set of policies and rules. An example of such ineffective behaviors included instances in which principals turned down a student council's proposal for dealing with problems, such as cutting class and general absenteeism, or simply developed a laundry list of "dos and don'ts." Principals need to establish behavioral norms in the minds of students and staff.

The final type of ineffective behavior for characteristic 2 is the unwillingness of principals to enforce discipline. Behaviors identified included walking out of unruly practice graduation assemblies and disregarding rowdy students in a lunchroom. If unexpected misbehavior is not confronted, others will view the principal's behavior as ineffective.

Characteristic 3: Demonstrating that the School Places a High Emphasis on Curriculum Articulation

Effective

A. ensures that the school has a scope and sequence that is being adhered to. (5 behaviors)

B. expects teachers to be aware of the school's various curricula. (2 behaviors)

C. demonstrates knowledge of and interest in each curriculum. (2 behaviors)

This characteristic was one of two that drew the fewest responses of effective behaviors. The behaviors cited for this characteristic did fit within the leadership action called implementation in two ways--requiring staff to work within an established scope and sequence and expecting staff

and department heads to be aware of the curricula. Most of the first type of behaviors occurred in situations where observers had witnessed principal involvement in the creation of scope and sequence programs, but there was one instance in which principal work included checking to see that teaching content was within the established scope and sequence. The other two behaviors represented principal behavior that acquainted staff with other curricula (such as rotating meetings to different rooms) or that demonstrated the principal's knowledge of and interest in the various curricula. One possible reason few behaviors occurred in this area is that principals work through staff to implement curricula so observers may have categorized the behaviors under other characteristics.

Ineffective

A. does not ensure that the school has a scope and sequence that is being adhered to for each curriculum. (5 behaviors)

B. does not provide administrative support for curriculum problems. (3 behaviors)

The types of behaviors in this characteristic include the opposite of one of the effective behaviors and a different type of behavior. A principal's behavior was seen as ineffective if he or she refused to allow programs that he or she was not interested in or permitted staff to violate an established scope and sequence. Another type of behavior was improper administration, such as delegating responsibilities for curriculum development without the authority to do so or not integrating departmental programs into the overall school program. As with the effective behaviors, this was one of the characteristics that generated the fewest number of observations, which suggests that principals apparently work on curricula problems through department heads, teachers, and district staff.

Characteristic 4: Providing Cooperation and Support for Staff Instructional Tasks

Effective

A. supports teacher decisions and needs with direct action. (5 behaviors)

B. provides atmosphere and resources to complete staff instructional tasks. (4 behaviors)

Given the direct relationship between this characteristic and academic achievement, it had surprisingly few behaviors. The characteristic suggests implementation of a leadership agenda, and, in fact, the behaviors that were mentioned do logically fit within that dimension. Examples of (A) above include supporting teacher needs with money for remodeling a room or backing up a teacher in a conflict over grades. Two examples of (B) are providing extra duty pay for after hours planning sessions and setting up a group of teachers to plan ways to have fewer interruptions in a school day. Even though the characteristic attracted 55 observations, only 9, or 16.4 percent, were retained in this category, which suggests that apparently analysts did not see it as a conceptually distinct characteristic.

Ineffective

A. denies teachers supplies and resources through misadministration. (5 behaviors)

B. displays lack of confidence and respect for teachers. (3 behaviors)

C. makes unreasonable demands on teachers outside of teaching responsibilities. (2 behaviors)

Few ineffective behaviors were classified under this characteristic. Again, as in the effective behaviors, the behaviors represent implementation of an agenda, but they are not simply antithetical to the effective behaviors. Among the behaviors that obstruct the task of teaching are denying access to copy machines, and requiring teacher aides to be used for

noninstructional tasks only. Displaying lack of confidence or respect for teachers was shown by doubting a teacher's reasons for grading and mocking a biology teacher by saying "oh yes, (teacher's name) is off playing in the fields again." Requiring more than one extra duty coaching assignment in a teacher's second year or setting unrealistic deadlines were illustrations of unreasonable non-teaching demands. Apparently this category is not conceptually distinct for either effective or ineffective behaviors.

Characteristic 5: Expressing High Expectations and Clear Goals for the Performance of Students

Effective

A. encourages students to pursue challenging academic goals in direct contact with students. (7 behaviors)

B. establishes school-wide academic requirements. (7 behaviors)

C. expects counseling programs to challenge students. (4 behaviors)

D. sets instructional standards for teachers. (2 behaviors)

This set of effective behaviors portrays agenda-setting actions that convey a message of high expectations to students, teachers, and counselors. Further, it appears that the effective behaviors implement the agenda by creating systems to achieve those expectations. Examples of specific behaviors in here included not allowing seniors to register for half-day schedules (even though they could still meet minimum graduation requirements), establishing "proper English requirements" for all homework papers, emphasizing the need to guide incoming sophomores into challenging courses, and requiring teachers to have at least one instructional goal per year related to student performance.

Ineffective

A. minimizes importance of academic achievement in discussions with students. (6 behaviors)

B. does not set specific goals for student performance. (2 behaviors)

C. allows students to get by with academically unchallenging course schedules. (2 behaviors)

The ineffective behaviors that affect high expectations and clear performance goals are the opposites of the effective behaviors: for example, not challenging students in conversations (e.g. telling students that all they need to do is graduate with a diploma or telling athletes not to worry about grades); setting no goals for student performance or having vague goals (e.g., being the best high school in the state); or allowing students to have unchallenging academic schedules (e.g. allowing students to take 2 to 3 periods of physical education or not changing credit requirements after switching the high school from a six-period to a seven-period day). Thus, the ineffective behaviors represent the opposite of two leadership actions: setting an agenda and implementing the agenda.

Characteristic 6: Providing for Collaborative Planning with Staff

Effective

A. creates opportunities to listen actively to staff and faculty ideas. (8 behaviors)

B. provides resources and a supportive environment for collaborative planning. (5 behaviors)

C. establishes school-wide goals and programs through staff input and participation. (4 behaviors)

D. staffs steering committees with representatives from all sides. (2 behaviors)

This characteristic includes behaviors that present all three leadership actions. Effective behaviors that both established a process agenda and a network were evidenced by behaviors that create opportunities to

actively listen to staff and faculty ideas (e.g. attending planning sessions or meeting with area coordinators periodically). Behaviors that implemented the agenda include providing resources for collaborative planning and creating committees for school-wide programs that had representatives from the network of key people.

Ineffective

A. avoids staff involvement in decisions or discussions. (10 behaviors)

B. provides little or no feedback after meetings. (3 behaviors)

C. does not provide resources or support for collaborative planning. (1 behavior)

While these three types of behaviors do not represent the exact opposite of the effective behaviors for this characteristic, they do include implementation done without staff involvement (e.g., writing several drafts of a new policy without showing it to staff or selecting instructional materials without involving faculty). The behaviors also indicate that no network of cooperation is established and the input given is neither handled properly (e.g., does not send faculty meeting minutes to aides) nor supported (e.g., does not provide time for collaborative planning.)

Characteristic 7: Providing Instructional Leadership for Teachers

Effective

A. has active involvement in planning, conducting, and evaluating inservice programs. (12 behaviors)

B. provides direction and support for individual teachers in order to eliminate poor instructional performance. (10 behaviors)

C. provides direct instructional leadership in one-on-one sessions with teachers. (7 behaviors)

D. has each teacher's classroom performance evaluated in specifics. (7 behaviors)

E. hires effective staff. (2 behaviors)

Characteristic 7 generated the second largest number of behaviors, which are divided according to five different types. The first type, agenda-setting items, includes taking an active role in inservice training by teaching in front of the faculty, routing information on workshops to teachers who are particularly interested in the topics, and knowing what was presented during inservice training to see if teachers are implementing the recommendations learned in the training. Further, agenda setting is accomplished by a second type of behaviors that provides specific direction on how teaching performance can be improved: for example, contacting teachers, setting goals for department heads, or developing individual teacher improvement plans. In addition to agenda setting, two types of behavior represent ways of implementing instructional leadership either in one-on-one sessions with teachers or through detailed evaluation of teacher classroom performance. The last type of behavior specifies hiring techniques that identify effective teachers (e.g., hiring different types of teachers to reach all types of students and not hiring a person who could not validate references). In summary, the behaviors describe all three leadership actions: setting an agenda, establishing a network, and implementing the agenda.

Ineffective

A. does not provide effective feedback on instructional skills. (9 behaviors)

B. denies importance of inservice programs. (8 behaviors)

C. does not provide feedback on inappropriate classroom behavior. (4 behaviors)

D. hires teachers without an emphasis on teaching performance. (3 behaviors)

E. does not require teacher improvement. (2 behaviors)

These types of behaviors represent the opposite of the effective

instructional leadership. Consequently, through such behavior a principal has neither a network to support an agenda nor resources to implement one. Here again, however, observers recognized the second largest number of behaviors, so the characteristic is conceptually clear and sends unmistakable signals to observers about the importance of effective instruction.

Characteristic 8: Obtaining Parental Support for the Education of Students

Effective

A. obtains active parental involvement in school activities. (15 behaviors)

B. communicates personally with parents of students. (11 behaviors)

C. informs parents of special programs and activities. (11 behaviors)

D. interacts directly with parents and citizens to promote the school. (4 behaviors)

E. establishes direct personal contact between parents and teachers. (3 behaviors)

This characteristic emphasizes communicating with parents, which is primarily a networking action. However, the first type of behavior, securing and maintaining parental involvement, represents a process agenda. This behavior encourages parental involvement in such activities as writing articles for monthly newsletters, serving as volunteer supervisors in the cafeteria during lunchtime, and participating in a parent/student swap day.

The four other types of behavior involve either communicating positive as well as negative feedback to parents about their children's academic performance and special events, or ensuring that school staff communicate directly with parents through newsletters or counseling programs. The first of these is an implementation action, the second a networking action. This characteristic appears to support other characteristics of the school. Because the behaviors in this characteristic do not link directly with other characteristics, it appears to be conceptually clear with 44.7

percent of the original behaviors retained for this characteristic.

Ineffective

A. avoids interpersonal communication with parents. (14 behaviors)

B. communicates in a manner that will increase the ire of parents. (12 behaviors)

C. discourages parental involvement. (10 behaviors)

D. succumbs to nonacademic special interest groups. (2 behaviors)

E. does not meet with parents on positive topics. (2 behaviors)

The types of behavior in this characteristic imply no agenda for parental involvement, no network, and weak or inappropriate implementation. Four of the behavior types refer to opposites of the effective behaviors, indicating that the principal sees parental involvement as distracting him or her from the academic agenda of the school. However, (D) represents a unique type of behavior--succumbing to nonacademic special interest groups. The highest percentage (78.4 percent) of ineffective behaviors within a characteristic were retained in this characteristic. Again, the characteristic is distinct conceptually, but it supports other agendas of the principal.

Unclassifiable but Unanimous Effective Behaviors

A. takes visible action to address faculty and administrative staff concerns and problems. (21 behaviors)

B. recognizes student academic achievements in hallway conversations, involving parents through personal notes, or personal counseling for discipline and achievement. (20 behaviors)

C. communicates with faculty and administrative staff in a two-way dialogue that encourages openness and trust. (14 behaviors)

D. involves staff and parents in cooperative efforts to expand curricula. (12 behaviors)

E. demonstrates personal commitment to and emphasis on advanced course work and curriculum development. (12 behaviors)

F. provides resources for faculty to meet a wide variety of needs. (12 behaviors)

G. works with teachers to know and assist them in improving classroom performance. (11 behaviors)

H. administers in-service programs in cooperation with faculty. (10 behaviors)

I. promotes orderly, studious, school environment in a way which incorporates faculty and parents. (7 behaviors)

J. takes personal role in recognizing academic goals and high expectations. (6 behaviors)

K. socializes with faculty. (6 behaviors)

L. institutes advanced academic courses or standards that the principal personally espouses. (5 behaviors)

M. develops measurement systems in various curricula to express high expectations of student performance. (5 behaviors)

N. provides special assistance for recognizing academic success. (6 behaviors)

O. communicates with parents about curriculum requirements. (4 behaviors)

P. spells out specific administrative responsibilities for staff. (3 behaviors)

Q. meets individually with teachers to develop and implement personal goals. (3 behaviors)

R. makes effective presentations to the Board of Education. (3 behaviors)

S. develops resources and support for academic programs. (3 behaviors)

T. hires effective staff. (2 behaviors)

U. reviews course outlines. (2 behaviors)

This list represents those behaviors that were classified into several characteristics but that panelists and researchers still unanimously agreed were effective. Here the necessary brevity of composite descriptions of diverse behaviors masks the complexity that prompted panelists and researchers to assign them to multiple characteristics.

Specifically, behaviors in (A), "taking visible action to resolve faculty and administrative staff concerns," were categorized under several

characteristics, particularly support for instructional tasks (characteristic 4), and cooperative planning (characteristic 6). Behavior (D), "involves staff and parents in cooperative efforts to expand curricula," fell under curriculum articulation (characteristic 3), cooperative planning (6), and parental involvement (8).

A few of the types of behavior appear to specify one characteristic, but a review of the specific behaviors shows their multiple dimensions. For example, (j), "takes personal role in recognizing academic goals," included "goes out to local service groups and arranges to get money and support for projects," "reviews play performance in the daily bulletin," and "discusses with faculty why high expectations of students are needed." Each of these actions should have a positive influence on several of the characteristics of each school.

The second point to note about the behaviors is that they too can be classified according to the agenda setting, networking, and implementing actions of leaders (See Table 3.1). The authors categorized the behaviors by the three leadership actions, yet most could be characterized as affecting more than one area. The agenda-setting types of behavior are fewest, perhaps because a clear articulation of an agenda would likely have resulted in that type of behavior being classified under one particular characteristic. The remainder of the types affect primarily both networking and implementing actions, although eight are exclusively implementing and four are exclusively networking. None of the types of behavior are exclusively agenda-setting actions.

TABLE 3.1
LEADERSHIP DIMENSIONS OF UNANIMOUS EFFECTIVE BEHAVIORS

	Agenda Setting [1]	Networking	Implementing
a			X
b		X	
c		X	X
d	P	X	X
e	C		X
f			X
g			X
h		X	X
i	C,P	X	X
j			X
k		X	
l	C		X
m			X
n		X	X
o		X	X
p			X
q			X
r		X	
s			X
t		X	
u			X

[1] P = Process Agenda; C = Content Agenda

Unclassifiable but Unanimous Ineffective Behaviors

A. takes action in specific areas without requesting or recognizing teacher input. (40 behaviors)

B. does not allow planning, training, or curriculum support that could improve teacher effectiveness in the classroom. (20 behaviors)

C. uses ineffective personal behaviors such as lying, no follow-up, personal criticism, etc. (12 behaviors)

D. handles budget in a manner that raises questions of inequity. (11 behaviors)

E. demonstrates lack of interest of expectations, attention, or knowledge about academic success of students. (10 behaviors)

F. provides weak curriculum leadership. (8 behaviors)

G. does not provide or expect specific goals for student achievement. (8 behaviors)

H. does not show equal interest for all curricula. (7 behaviors)

I. does not enforce discipline to support instructional tasks. (6 behaviors)

J. allows students to miss too much class time for other activities. (5 behaviors)

K. shows disinterest, or lack of knowledge, in elementary and feeder school problems. (4 behaviors)

L. demonstrates insensitivity to parents. (3 behaviors)

M. follows directions from superintendent's office without challenging them. (2 behaviors)

N. does not attend academic events. (2 behaviors)

The ineffective behaviors also influence multiple characteristics. The most frequently cited behavior was (A), "takes action in specific areas without requesting or recognizing teacher input" (e.g. developing a master schedule without input from the department head or reading rules and regulations to the teachers once a month). Many of these specific behaviors referred to such things as curriculum articulation, disciplinary rules, or evaluation systems that were implemented without staff input. Consequently, the panel and researchers could have categorized them under either creating an orderly, studious environment (characteristic 2) or providing for collaborative planning with staff (characteristic 6). The behavior is ineffective in both characteristics, but there is no agreement on which. The second type, (b), "does not allow support that could improve teacher effectiveness in the classroom," includes behaviors such as ignoring common prep times for teachers in the same discipline (characteristic 6--collaborative planning with staff--and characteristic 4--cooperation and support for instructional tasks) or saying to staff, "If kids are going to learn, they'll learn on their own" (characteristic 5--high expectations--and characteristic 7--instructional leadership). The frequency with which this category is observed may explain why "support for staff instructional tasks" (characteristic 4) had so few agreed upon behaviors because the principal behaviors identified in that category could be so pervasive in influence that

they are allotted to multiple categories.

As with effective behaviors, the ineffective behaviors can be categorized according to the three dimensions of leadership: agenda-setting, networking, and implementing (See Table 3.2). Three ineffective types of behavior are deficient solely because they fail to set an agenda: (e) demonstrates lack of interest in academic success of students; (h) does not show equal interest for all curricula; and (m) follows directives from the superintendent's office with out challenging them. There were 4 examples of networking, and 10 examples of implementing action.

TABLE 3.2
LEADERSHIP DIMENSIONS OF UNANIMOUS INEFFECTIVE BEHAVIORS

	Agenda Setting [1]	Networking	Implementing
a		X	X
b			X
c		X	X
d			X
e	C		
f	P		X
g	C,P		X
h	C		
i			X
j			X
k		X	X
l		X	
m	C,P		
n			X

[1] C = Content Agenda; P = Process Agenda

We conducted statistical tests regarding the number and percentage of behaviors collected and re[illegible]d in each characteristic. The results of these tests are described in Appendix A.

CHAPTER FOUR

SUMMARY AND DISCUSSION

The purpose of this study was to identify key principal behaviors that influence the characteristics of effective schools. Eight characteristics identified as being related to secondary school effectiveness were presented to observers of principal behavior. The observers helped identify behaviors with a modified version of the Critical Incident Technique (Flannagan 1954). The behaviors were subsequently analyzed by both a panel of experts and the researchers to produce the set of behaviors identified in chapter 3. Each set of behaviors was then analyzed to determine whether it contained any of the three leadership actions: setting an agenda, creating a cooperative network, and implementing the agenda through the network. Because this was a pilot study, the question is whether the study identified a comprehensive set of behaviors or whether there is a need for further data collection. This question will be answered by examining the results in light of the leadership dimensions, the secondary school dynamics model, and the research literature.

School Characteristics and Leadership Dimensions

The three leadership dimensions (agenda setting, network creation, and agenda implementation) were not equally represented among the eight characteristics. Five characteristics included types of behavior that fit all three of the dimensions: providing school-wide measurement and recognition of academic success (characteristic 1); promoting an orderly, studious environment (characteristic 2); expressing clear goals and expectations (characteristic 5); instructional leadership (characteristic 7); and obtaining parental support (characteristic 8). The first of these was school-wide measurement and recognition of academic success. Providing a

disciplined and orderly environment (characteristic 2) also contained examples of all three leadership dimensions, results similar to findings from other research. For example, Lasley and Wayson (1982) concluded that discipline was "deceptively simple," consisting of (1) clear and consistent policies that reinforce the authority of teachers, (2) a collective involvement in shared responsibility for learning in an atmosphere of success, and (3) positive support for purposeful and productive behavior. Not only do the effective behaviors in this research confirm those behaviors, but the ineffective behaviors are the exact opposite of the effective behaviors. Also, because high schools that enforce rules have fewer problems with student misbehavior (Chamberlain 1982), it seems logical to hypothesize that such schools might be more effective.

The third characteristic containing examples of all three leadership actions was instructional leadership (characteristic 7). As with the previous characteristic, the ineffective behaviors were the opposite of the effective behaviors. The fact that this category had the second highest overall retention rate of agreed behaviors (39.5 percent) and the second largest total number of behaviors (64 percent) indicates that a wide variety of behaviors will demonstrate that instructional mastery is a high priority and can be acted on by the principal.

Historically, it has been reported that principals avoid instructional leadership (Hallinger et al. 1983). The major reasons are probably a lack of consensus on the best way to improve student learning (Dornbush and Scott 1975) and respect for a teacher's individual style. However, this situation may change as more research demonstrates the existence of models that can improve instruction (Weil and Murphy 1982). The behaviors in this study provide further insight into behaviors that principals can use to improve individual teaching styles without violating teacher autonomy; specifically evaluating teacher classroom performance and

providing direction and support for improving instructional performance. One principal, for example, required new faculty members to develop their own teaching styles by studying the diverse teaching styles of three effective teachers in the math department. Whether using such behaviors that are recognized as effective is, however, up to the leadership of the secondary school. (It is important to note that instructional leadership here refers to a narrower definition than is frequently used [c.f., Hallinger et al. 1983; and Bossert et al. 1982]. In this definition we are talking about direct instruction [Duckworth 1983].)

The last two characteristics that encompassed behaviors that fit all three dimensions were collaborative planning (characteristic 6) and parental involvement (characteristic 8). While the three characteristics mentioned above (characteristics 1, 2, and 7) contained behaviors that set content agendas, these last two provided process agendas that incorporated the natural networks of principal work. These characteristics can lead to effective schools even if characteristic 5 (high expectations and clear goals) is not present. If parents and teachers with high expectations for student achievement are involved in the school, the result may be the same as if the principal has such high expectations (Edmonds 1978).

For what appear to be logical reasons, the three remaining characteristics did not include all three leadership actions. Expressing high expectations and clear goals (characteristic 5) consisted primarily of agenda-setting items, although it did contain some types of implementation actions. Behaviors in both curriculum articulation (characteristic 3) and cooperation and support for instructional tasks (characteristic 7) were implementing actions. Agendas for these two characteristics would most likely be set as part of three other characteristics: expressing high expectations and clear goals, creating a studious environment, and providing instructional leadership.

In summary, we will look at each of the three dimensions. First the study identified six characteristics in all in which principal behavior could influence agendas. There were four content agendas: providing school-wide measurement and recognition of academic success; promoting an orderly, studious environment; expressing clear goals and high expectations; and providing instructional leadership. Three of those content agendas--promoting an orderly, studious, school environment (characteristic 2); expressing clear goals and high expectations (characteristic 5); and providing instructional leadership (characteristic 7)--are so well defined that effective and ineffective categories consisted of exactly opposite types of behavior. There were two other characteristics that contained process agendas: providing collaborative planning with staff (characteristic 6) and obtaining parental support (characteristic 8). Obtaining parental support also included the opposite behaviors.

The report identified five characteristics in which principal work could exhibit networking actions: providing for school-wide measurement of academic success (characteristic 1); promoting an orderly, studious school environment (characteristic 2); providing collaborative planning with staff (characteristic 6); providing instructional leadership (characteristic 7); and obtaining parental involvement and support (characteristic 8). The report also indicated that all eight characteristics included implementing actions. Taken as a whole, the behaviors would appear to represent a comprehensive, logical range of effective principal behaviors required to provide leadership for an effective school.

School Characteristics and the Secondary School Dynamics Model

The study suggests that principal behavior (i.e., principal leadership) does in fact influence all five of the other organizational elements of the secondary school dynamics model: formal organization arrangements, staff and tangible resources, social system, instructional

technology, and external environment. However, principal behaviors were not evenly recognized across all the elements, which would tend to indicate that principal leadership will not be as influential in changing the eight school characteristics as other elements of the model might. Curriculum articulation is one example. Scope and sequence learning programs are realistically limited to math, science, and foreign languages (Newmann and Behar 1982). Furthermore, the district has a major role to play in designing and implementing scope and sequence programs. So, it is not surprising to find that principal behavior appears to be limited in this role.

It is important to note that the behaviors included incremental actions, not broad, sweeping reforms. The behaviors described actions to change the school characteristics gradually or to continue existing programs, not actions to bring about sudden, massive changes in schools. Similarly, Newmann and Behar (1982) found that none of the schools they studied was involved in a major change. Instead the schools in their study implemented changes in increments. The nature of the secondary school organizational dynamics model suggests that organizational changes can only occur incrementally because of the necessity of aligning all the elements. The conclusion is that both the nature of the model and the list of behaviors are consistent with previous research findings.

General Observations

In addition to observations concerning leadership dimensions of the eight characteristics, three general observations can be made as a result of the pilot study. The first is that the Critical Incident Technique (Flanagan 1954) can be modified to study behaviors in specific categories. In fact, doing so provides additional insights into the organization and the nature of leadership behavior. Although it has been common practice to discard behaviors that cannot be agreed upon (Smith and Kendall 1963), we have found

that behaviors that affect more than one category can be retained as important behaviors to study and use.

The second observation is that a study that starts with a set of classifications can be more easily linked with existing organizational effectiveness literature. The review of the four studies of the behavior of secondary school principals resulted in four different sets of behavioral categories that were descriptive only and that were not linked to any research outside the principal leadership research. Yukl (1982) is critical of behavioral observation research for the same reasons: it generates a list of behaviors that cannot readily be linked with other types of research or even with other behavioral observation research.

The third general observation is that the effective and ineffective behaviors tend to lend support to the Morris et al. (1981) assertions that principals can influence school characteristics. Even though the study did not identify the importance or actual frequency of use of behaviors, the observations tended to describe behaviors that, although brief and widely divergent, were clearly effective or ineffective.

Conclusion

The behaviors collected in this pilot study appear to be a comprehensive list of effective and ineffective principal work; thus, the purposes of this research project appear to have been accomplished. First, the behaviors are grounded in a model of organizational effectiveness. The behaviors correspond with key characteristics of the model and indicate how specific principal behaviors affect various aspects of a secondary school system.

Second, the research has identified how these behaviors fit into three dimensions of leadership action that specify the role of the principal in creating characteristics of effective schools. The work should be useful

for training and development programs, for the selection, placement, and evaluation of principals; and, finally, for professional development of principals who are interested in becoming more effective.

Finally, the study can be helpful to school effectiveness research by identifying how principal behaviors create school characteristics that affect achievement within the classroom. The behaviors can be linked to school characteristics that influence outcomes and effects in areas other than basic math and reading achievement.

Whether or not the behaviors were or are practiced, and how important each is in a wide variety of schools are other research questions. Even though there was no indication of the frequency or importance of the behaviors, there is little doubt that if they are practiced, they will be viewed by the great majority of the staff and students as effective or ineffective in creating a specific school characteristic. Furthermore, the unanimous unclassified behaviors will be seen as effective or ineffective for a wide variety of reasons. Whether or not they are practiced is a function of the goals of the secondary school. Because goals are not inherent in secondary schools but rather are part of the leadership of secondary schools (Seashore 1983), school leaders have the power to practice the effective behaviors to achieve the school characteristics identified.

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APPENDIX A

The number of reported behaviors for each characteristic are listed in Table A.1. Statistical tests, run to determine whether there was any difference between the categories, indicated that there was no significant difference between the number of behaviors collected in each characteristic for ineffective ($x^2 = 1.71$, n.s.), effective ($x^2 = 7.52$, n.s.), and total ($x^2 = 3.22$, n.s.) behaviors. However, when the behaviors were reclassified, there were significant differences between the characteristics for all three (ineffective ($x^2 = 37.73$, $p < .01$; effective $x^2 = 24.82$, $p < .01$; total $x^2 = 26.43$, $p < .01$).

The process of reallocation eliminated or redistributed more behaviors from some categories than from others. For example, category 3, curriculum articulation, had the lowest percentage of ineffective and effective behaviors retained (5 percent) but represented 10.2 percent of the behaviors identified. Support for instructional tasks (category 4) was reported the second fewest times (5.6 percent) which represented a drop from 9.6 percent of the behaviors identified. The most frequently agreed upon categories were obtaining parental support (category 8) and instructional leadership (category 7). These agreed upon categories jumped to 25.3 percent and 18.8 percent from identified categories with 14.8 percent and 15.6 percent respectively.

An examination of Table A.2 reveals why there were shifts in the distributions. Table A.2 represents the percentage of the identified behaviors retained in each category. A chi-squared analysis was used to examine whether the percentage of retention for the total number of behaviors in each group was the same for all eight characteristics. For example, 33.8 percent of all the behaviors in the ineffective category were retained. However, a chi-squared analysis indicated that the retention rate for

TABLE A.1
NUMBER AND PERCENTAGE OF IDENTIFIED AND RETAINED BEHAVIORS PER CHARACTERISTIC

	IDENTIFIED						RETAINED					
	Ineffective		Effective		Total		Ineffective		Effective		Total	
Characteristic	No.	%[1]	No.	%[2]	No.	%[3]	No.	%[4]	No.	%[5]	No.	%[6]
1	41	10.3	84	13.2	125	12.0	9	6.7	35	17.6	44	13.2
2	60	15.0	98	15.4	158	15.2	16	13.3	28	13.7	44	13.5
3	51	12.8	55	8.6	106	10.2	8	5.9	9	4.4	17	5.0
4	44	11.0	56	8.8	100	9.6	10	7.4	9	4.4	19	5.6
5	46	11.5	64	10.0	110	10.6	10	7.4	20	9.8	30	8.8
6	60	15.0	63	9.9	123	11.8	14	10.4	19	9.3	33	9.7
7	47	11.8	115	18.0	162	15.6	26	19.2	38	18.5	64	18.8
8	51	12.8	103	16.1	154	14.8	40	29.6	44	21.7	84	25.3
Characterized	400	-	638	-	1038	-	133	47.5	202	55.0	335	51.8
*Unanimous	-	-	-	-	-	-	149	52.5	166	45.0	315	48.2
Totals	400	-	638	-	1038	-	282	-	368	-	650	-

1. $x^2 = 1.70$, n.s.
2. $x^2 = 7.52$, n.s.
3. $x^2 = 3.22$, n.s.
4. $x^2 = 37.73$, $p<.01$
5. $x^2 = 24.82$, $p<.01$
6. $x^2 = 26.43$, $p<.01$

*This category represents behaviors not characterized but unanimously agreed to be either effective or ineffective.

Note: The percentages here indicate the percentage of the behaviors of a certain type (either effective or ineffective) the number of behaviors listed in a characteristic represent. For example, 10.3% under Identified Ineffective next to Characteristic 1 means that the 41 behaviors represent 10.3% of the ineffective behaviors identified.

TABLE A.2
NUMBER AND PERCENTAGE OF IDENTIFIED AND RETAINED BEHAVIORS

	Ineffective			Effective			Total		
Characteristic	No. Ident.	No. Retain	% Retain[1]	No. Ident.	No. Retain	% Retain[2]	No. Ident.	No. Retain	% Retain[3]
1	41	9	22.0	84	35	42.9	125	44	36.0
2	60	16	30.0	98	28	28.6	158	44	29.1
3	51	8	15.7	55	9	16.4	106	17	16.0
4	44	10	22.7	56	9	16.1	100	19	19.0
5	46	10	21.7	64	20	31.3	110	30	27.3
6	60	14	23.3	63	19	30.2	123	33	26.8
7	47	26	55.3	115	38	24.3	162	64	39.5
8	51	40	78.4	103	44	42.7	154	84	55.8
	400	133	33.8	638	202	31.85	1038	335	32.8
Unanimous*		149	37.3		166	26.0		315	30.3

1. $x^2 = 98.01$, $p<.01$

2. $x^2 = 28.64$, $p<.01$

3. $x^2 = 34.66$, $p<.01$

*This category includes behaviors not characterized but unanimously agreed to be either effective or ineffective.

Note: The percentages here indicate what percentage of the identified behaviors in a characteristic were retained.

ineffective behaviors was significantly different between the characteristics ($x^2 = 98.01$, $p < .001$). For example, researchers and panelists agreed that 78.4 percent (40/51) of the behaviors identified as ineffective in category 8, obtaining parental support, were ineffective. In contrast, researchers and panelist agreed that only 15.7 percent of the behaviors identified as ineffective in category 3, curriculum articulation, were ineffective. The effective behaviors were also retained at a significantly different rate between the characteristics ($x^2 = 28.64$, $p < .01$).

The areas with highest agreement as a percentage of the identified ineffective behaviors are category 8, obtaining parental support (78.4 percent), and category 7, providing instructional leadership (55.3 percent). For the effective categories, the highest agreement was on category 8, obtaining parental support (44.7 percent), and category 1, school-wide measurement and recognition of academic success (42.9 percent). Overall, behaviors in categories 8 and 7, obtaining parental support (55.8 percent) and providing instructional leadership (39.5 percent), are the most frequently agreed upon behaviors.

Looking at the molecular level of behaviors is instructive, but a summary of each category allows a more global analysis. Behaviors were summarized into types of behaviors for each category.

It should be pointed out that number of behaviors is directly correlated with the diversity of behavior. For example, the categories with the highest number of behaviors cited provided the greatest diversity of types of behavior. Tables A.3 and A.4 demonstrate that category 8, parental support, and category 7, instructional leadership, are the two categories with both the largest number and types of behaviors. The least observed categories, high emphasis on school curriculum articulation (category 3) and cooperation and support for staff instructional tasks (category 4), also had

TABLE A.3
FREQUENCY RANKING OF EFFECTIVE AND INEFFECTIVE BEHAVIORS

Effective Category	No. of Behaviors	Types of Behavior
8	44	5
7	38	4
1	35	4
2	28	4
5	20	4
6	19	4
3	9	3
4	9	3

Ineffective Category	No. of Behaviors	Types of Behavior
8	40	5
7	26	5
2	16	4
6	14	3
5	10	3
4	10	3
1	9	2
3	8	2

TABLE A.4
FREQUENCY OF RANKING OF ALL RETAINED BEHAVIORS

Categories	Total No. of Behaviors	Total No. Types of Behavior
8	84	10
7	64	9
2	44	8
1	44	6
6	33	7
5	30	7
4	19	6
3	17	5

the fewest types of behavior. However, looking at the number of behavioral statements within each category can be misleading. A particular behavior may be identified by every group and, therefore, could be retained more frequently than others. Or a behavior may be retained more frequently because many observers agree on the meaning of the behavior. Nevertheless, frequency of reporting does not guarantee frequency of use, nor does it imply relative importance. Further research needs to be conducted to determine frequency and importance (see Wexley and Dowell 1978, for an example).